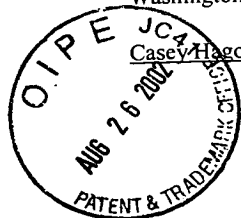


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CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on 8/22/02



Casey Hagopian 

PATENT

Attorney Docket No. 39239-0721

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application)

Inventor(s): Winston Way)

Application No.: 10/046,139)

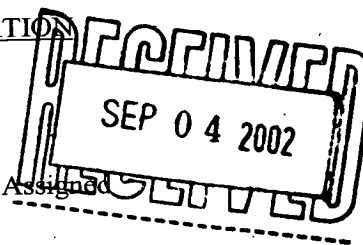
Filed: January 9, 2002)

Title Split Wave Method and Apparatus For)
Transmitting Data In Long-Haul Optical Fiber)
System)

PATENT APPLICATION

Art Unit: 2633

Examiner: Not Yet Assigned



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AUG 28 2002

Technology Center 2600

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents
Washington, D.C. 20231

Sir:

Listed below or on an attached Form PTO-1449 is information known to applicant(s). A copy of each listed publication and U.S. and foreign patent, except for pending U.S. applications, is being submitted herewith, along with a concise explanation of information in a foreign language, if any, pursuant to 37 C.F.R. §1.97-1.98.

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. If form PTO-1449 is enclosed, the Examiner is requested to initial and return it in accordance with MPEP §609.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in §1.56.

- ☒ This statement qualifies under 37 C.F.R. §1.97, subsection (b) because (check all that apply):
- ☐ (1) It is being filed within 3 months of the application filing date and is other than a continued prosecution application under § 1.53(d)
-- OR --
- ☐ (2) It is being filed within 3 months of entry of a national stage
-- OR --
- ☒ (3) It is being filed before the mail date of the first Office Action on the merits
-- OR --
- ☐ (4) It is being filed before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.
- ☐ 37 C.F.R. §1.97(c). If this statement is being filed after the latest of: (1) three months beyond the filing date of a national application; (2) three months beyond the date of entry of the national stage as set forth in §1.491 in an international application; or (3) the mailing date of a first Office action on the merits, but before the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, then:
- ☐ a certification as specified in §1.97(e) is provided below; or
- ☐ a fee of \$180.00 as set forth in §1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.
- ☐ 37 C.F.R. §1.97(d). If this statement is being filed after the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, but before payment of the issue fee, then:
- A. a certification as specified in §1.97(e) is completed below; and
- B. a petition under 37 C.F.R. §1.97(d) requesting consideration of this statement is submitted herewith; and
- C. a fee of \$130.00 as set forth in §1.17(i)(1) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.
- ☒ **Fee Authorization.** The Commissioner is hereby authorized to charge the above-referenced fees of \$0.00 and charge any additional fees or credit any overpayment associated with this communication to Deposit Account No. 08-1641 (Docket No. 39239-0721).

Respectfully submitted,

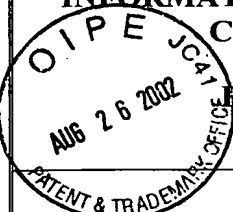
HELLER EHRMAN WHITE & MCAULIFFE LLP

By: 

Paul Davis, Reg. No. 29,294

Dated: 8/22/02

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Customer No. 25213

INFORMATION DISCLOSURE CITATION 		ATTY. DOCKET NO.		SERIAL NO.			
		39239-0721		10/046,139			
		APPLICANT Way					
PTO-1449		FILING DATE 01/09/02		GROUP 2633			
U.S. PATENT DOCUMENTS							
EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE	
	5,333,000	7/26/94	Hietala et al.	342	368		
	5,745,273	4/28/98	Jopson	359	181		
	5,949,560	9/7/99	Roberts et al.	359	110		
	5,982,963	11/9/99	Feng et al.	385	37		
	6,008,931	12/28/99	von Helmolt et al.	359	326		
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	6,163,553	12/19/00	Pfieffer	372	6		
	5,301,058	4/5/94	Olshansky	359	188		
	5,596,436	1/21/97	Sargis et al.	359	132		
FOREIGN PATENT DOCUMENTS							
EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
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<p align="center">RECEIVED AUG 28 2002 Technology Center 2600</p>							
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							
	S. Walkin, "Multilevel Signaling For Increasing the Reach of 10 Gb/s Lightwave Systems" <i>Journal of Lightwave Technology</i> , Vol. 17, No. 11, November 1999						
	M. Sieben, "Optical Single Sideband Transmission At 10 Gb/s Using Only Electrical Dispersion Compensation" <i>Journal of Lightwave Technology</i> , Vol. 17, No. 10, October 1999						
	W. Way, "Subcarrier Multiplexed Lightwave System Design Considerations For Subscriber Loop Applications", <i>Journal of Lightwave Technology</i> , Vol. 17, No. 11, November 1998						
	M.M. Ohn, "Dispersion Variable Fibre Bragg Grating Using a Piezoelectric Stack" <i>Electronic Letters</i> , Vol. 32, No. 21, October 1996						
	K. Yonenaga, "Optical Duobinary Transmission System With No Receiver Sensitivity Degredation", <i>Electronic Letters</i> , Vol. 21, No. 4, February 1995						
	K. Kitayama, "Highly Spectrum Efficient OFDM/PDM Wireless Networks Using Optical SSB Modulation", <i>Journal of Lightwave Technology</i> , Vol. 16, No. 6, June 1998						
EXAMINER			DATE CONSIDERED				